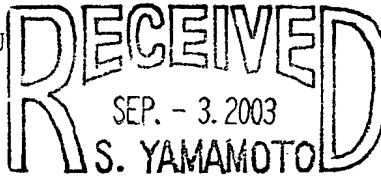


# PATENT COOPERATION TREATY

FROM THE RECEIVING OFFICE

TO:

YAMAMOTO SHUSAKU



FIFTEENTH FLOOR, CRYSTAL TOWER 2-27, SHI  
ROMI 1-CHOME, CHUO-KU OSAKA-SHI OSAKA 54  
0-6015 JAPAN

P C T

INVITATION TO CORRECT DEFECTS IN  
THE INTERNATIONAL APPLICATION

(PCT ARTICLES 3(4)(I) AND 14(1) AND RULE 26)

PCT/JP03/10421

RO106

APPLICANT'S OR AGENT'S FILE REFERENCE  02R00363/PC	DATE OF MAILING(DAY/MONTH/YEAR) 02. 09. 03
INTERNATIONAL APPLICATION NO. PCT/JP03/10421	REPLY DUE WITHIN 1 MONTHS FROM THE ABOVE DATE OF MAILING INTERNATIONAL FILING DATE(DAY/MONTH/YEAR) 18. 08. 03

APPLICANT

SHARP KABUSHIKI KAISHA

THE APPLICANT IS HEREBY INVITED, WITHIN THE TIME LIMIT INDICATED ABOVE, TO CORRECT, IN THE INTERNATIONAL APPLICATION AS FILED, THE DEFECTS SPECIFIED ON THE ATTACHED

☒ Annex A

☐ Annex B

☐ Annex C

ADDITIONAL OBSERVATIONS(IF NECESSARY):

## HOW TO CORRECT THE DEFECTS?

CORRECTION MUST BE SUBMITTED BY FILING A REPLACEMENT SHEET EMBODYING THE CORRECTION AND A LETTER ACCOMPANYING THE REPLACEMENT SHEET, WHICH SHALL DRAW ATTENTION TO THE DIFFERENCE BETWEEN THE REPLACED SHEET AND THE REPLACEMENT SHEET. A CORRECTION MAY BE STATED IN A LETTER ONLY IF IT IS OF SUCH A NATURE THAT IT CAN BE TRANSFERRED FROM THE LETTER TO THE RECORD COPY WITHOUT ADVERSELY AFFECTING THE CLARITY AND DIRECT REPRODUCIBILITY OF THE SHEET ONTO WHICH CORRECTION IS TO BE TRANSFERRED(RULE 26.4(A)).

## ATTENTION

FAILURE TO CORRECT THE DEFECTS WILL RESULT IN THE INTERNATIONAL APPLICATION BEING CONSIDERED WITHDRAWN BY THIS RECEIVING OFFICE(SEE RULE 26.5 FOR FURTHER DETAILS).

A COPY OF THIS INVITATION AND ANY ATTACHMENTS HAS BEEN SENT TO INTERNATIONAL BUREAU

☐ AND THE INTERNATIONAL SEARCHING AUTHORITY

NAME AND MAILING ADDRESS OF THE RECEIVING OFFICE  
JAPAN PATENT OFFICE  
4-3, KASUMIGASEKI 3 CHOME,  
CHIYODA-KU, TOKYO 100-8915 JAPAN

FACSIMILE NO.

AUTHORIZED OFFICER

Commissioner  
Japan Patent Office

TELEPHONE NO. 03-3592-1308

The receiving Office has found the following defects in the international application as filed:

1. As to **signature\*** of the international application (Rules 4.15 and 90.4), the request:

- a. ☐ is not signed
- b. ☐ is not signed by all the applicants.
- c. ☐ is not accompanied by the statement referred to in the check list in Box No. VIII of the request explaining the lack of the signature of an applicant for the designation of the United States of America
- d. ☒ is signed by what appears to be an agent/~~common representative~~ but:
  - ☐ the international application is not accompanied by a power of attorney appointing him.
  - ☒ the power of attorney accompanying the international application was not signed by all the applicants, i.e., **SHARP KABUSHIKI KAISHA**.
- e. ☐ other (specify):

\*All applicants must sign, including inventors if they are also applicants (e.g. where the United States of America is designated).

2. As to indications concerning the **applicant**, the request (Rules 4.4 and 4.5):

- a. ☐ does not properly indicate the applicant's name (*specify*):
- b. ☐ does not indicate the applicant's address
- c. ☐ does not properly indicate the applicant's address (*specify*):
- d. ☐ does not indicate the applicant's nationality
- e. ☐ does not indicate the applicant's residence
- f. ☐ other (*specify*):

3. As to the **language** of certain elements of the international application, other than the description and claims (Rule 12.1(c) and 26.3 *ter(a)* and (c)):

- a. ☐ the **request** is not in a language of publication accepted by this receiving Office; (the) language(s) accepted by this receiving Office is/are:
- b. ☐ the **text matter of the drawings** is not in the language in which the international application is to be published, which is:
- c. ☐ the **abstract** is not in the language in which the international application is to be published, which is:

4. The **title of the invention**:

- a. ☐ is not indicated in Box No. I of the request (Rule 4.1(a))
- b. ☐ is not indicated at the top of the first sheet of the description (Rule 5.1(a))
- c. ☐ as appearing in Box No. I of the request is not identical with the title heading the description (Rule 5.1 (a))

5. As to the **abstract** (Rule 8):

- ☐ the international application does not contain an abstract

## PATENT COOPERATION TREATY

Due: 10/2/03

FROM THE RECEIVING OFFICE

TO:

YAMAMOTO SHUSAKU

**RECEIVED**  
SEP. - 3. 2003  
S. YAMAMOTOFIFTEENTH FLOOR, CRYSTAL TOWER 2-27, SHI  
ROMI 1-CHOME, CHUO-KU OSAKA-SHI OSAKA 54  
0-6015 JAPAN

P C T

NOTIFICATION OF THE INTERNATIONAL  
APPLICATION NUMBER AND OF THE  
INTERNATIONAL FILING DATE  
(PCT RULES 20.5(C))

PCT/JP03/10421

RO105

DATE OF MAILING(DAY/MONTH/YEAR)

02.09.03

APPLICANT'S OR AGENT'S FILE REFERENCE

02R00363/PC

IMPORTANT NOTIFICATION

INTERNATIONAL APPLICATION NO.

PCT/JP03/10421

INTERNATIONAL FILING DATE(DAY/MONTH/YEAR)

18.08.03

PRIORITY DATE(DAY/MONTH/YEAR)

23.08.02

APPLICANT

SHARP KABUSHIKI KAISHA

1. THE APPLICANT IS HEREBY NOTIFIED THAT THE INTERNATIONAL APPLICATION HAS BEEN ACCORDED THE INTERNATIONAL APPLICATION NUMBER AND THE INTERNATIONAL FILING DATE INDICATED ABOVE.

THE APPLICANT IS FURTHER NOTIFIED THAT THE RECORD COPY OF THE INTERNATIONAL APPLICATION WAS TRANSMITTED TO THE INTERNATIONAL BUREAU ON 02.09.03

## NOTE

- a. THE INTERNATIONAL APPLICATION NUMBER CONSISTS OF THE TERM PCT REPRESENTING PATENT COOPERATION TREATY, A 2-LETTER CODE FOR THE RECEIVING OFFICE (FOR EXAMPLE, JP FOR JAPAN PATENT OFFICE), A 2-DIGIT NUMBER REPRESENTING THE YEAR, A SLASH, AND A 5-DIGIT NUMBER.
- b. THE INTERNATIONAL FILING DATE SHALL BE ACCORDED TO THE INTERNATIONAL APPLICATION THAT FULFILLS THE REQUIREMENTS PROVIDED UNDER ARTICLE 4(1) OF LAW CONCERNING INTERNATIONAL APPLICATIONS, ETC. PURSUANT TO THE PCT.
- c. IF THERE IS A CHANGE IN THE PERSON, NAME, ADDRESS, ETC., NOTIFICATION OF CHANGE THEREOF SHALL BE SUBMITTED PROMPTLY.
- d. IF THERE IS AN ERROR IN THE NAME, ADDRESS OF THE APPLICANT INDICATED IN THIS NOTIFICATION, IT SHALL BE CORRECTED ON THE REQUEST.
- e. UPON RECEIPT OF THE RECORD COPY FROM THE RECEIVING OFFICE, THE INTERNATIONAL BUREAU SHALL NOTIFY THE APPLICANT ACCORDINGLY (FROM PCT/IB/301). IF THE INTERNATIONAL BUREAU HAS NOT RECEIVED THE RECORD COPY BY THE EXPIRATION OF 14 MONTHS FROM THE PRIORITY DATE, IT SHALL NOTIFY THE APPLICANT ACCORDINGLY (PCT RULE 22.1(C)).

NAME AND MAILING ADDRESS OF THE RECEIVING OFFICE

JAPAN PATENT OFFICE(RO/JP)

4-3,KASUMIGASEKI 3-CHOME,

CHIYODA-KU,TOKYO 100-8915 JAPAN

TELEPHONE NO. 03-3592-1308

FORM PCT/RO/105 (JULY 1998)

AUTHORIZED OFFICER

Commissioner

Japan Patent Office

**PCT REQUEST**

Original (for SUBMISSION) - printed on 14.08.2003 10:58:26 AM

<b>0</b>	<b>For receiving Office use only</b>	
<b>0-1</b>	International Application No.	
<b>0-2</b>	International Filing Date	
<b>0-3</b>	Name of receiving Office and "PCT International Application"	
<b>0-4</b>	<b>Form - PCT/RO/101 PCT Request</b>	
<b>0-4-1</b>	Prepared using	<b>PCT-EASY Version 2.92 (updated 01.07.2003)</b>
<b>0-5</b>	<b>Petition</b> The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty	
<b>0-6</b>	<b>Receiving Office (specified by the applicant)</b>	<b>Japan Patent Office (RO/JP)</b>
<b>0-7</b>	<b>Applicant's or agent's file reference</b>	<b>02R00363/PC</b>
<b>I</b>	<b>Title of invention</b>	<b>MBE growth of an AlGa<sub>N</sub> layer or AlGa<sub>N</sub> multilayer structure</b>
<b>II</b>	<b>Applicant</b>	
<b>II-1</b>	This person is:	<b>applicant only</b>
<b>II-2</b>	Applicant for	<b>all designated States except US</b>
<b>II-4</b>	Name	<b>SHARP KABUSHIKI KAISHA</b>
<b>II-5</b>	Address:	<b>22-22, Nagaikecho Abeno-ku Osaka-shi, Osaka 545-8522 Japan</b>
<b>II-6</b>	State of nationality	<b>JP</b>
<b>II-7</b>	State of residence	<b>JP</b>
<b>II-8</b>	Telephone No.	<b>06-6606-5495</b>
<b>II-9</b>	Facsimile No.	<b>06-6606-5827</b>
<b>III-1</b>	<b>Applicant and/or inventor</b>	
<b>III-1-1</b>	This person is:	<b>applicant and inventor</b>
<b>III-1-2</b>	Applicant for	<b>US only</b>
<b>III-1-4</b>	Name (LAST, First)	<b>BOUSQUET, Valerie</b>
<b>III-1-5</b>	Address:	<b>The Top Flat, Manor House, Henley Road, Sandford on Thames Oxford, OX4 4YN United Kingdom</b>
<b>III-1-6</b>	State of nationality	<b>FR</b>
<b>III-1-7</b>	State of residence	<b>GB</b>

## PCT REQUEST

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<b>III-2</b>	<b>Applicant and/or inventor</b>	
III-2-1	This person is:	<b>applicant and inventor</b>
III-2-2	Applicant for	<b>US only</b>
III-2-4	Name (LAST, First)	<b>HOOPER, Stewart Edward</b>
III-2-5	Address:	<b>21 Thorne Close, Kidlington , Oxfordshire OX5 1SJ United Kingdom</b>
III-2-6	State of nationality	<b>GB</b>
III-2-7	State of residence	<b>GB</b>
<b>III-3</b>	<b>Applicant and/or inventor</b>	
III-3-1	This person is:	<b>applicant and inventor</b>
III-3-2	Applicant for	<b>US only</b>
III-3-4	Name (LAST, First)	<b>BARNES, Jennifer Mary</b>
III-3-5	Address:	<b>13 Larkfields, Headington Oxford, OX3 8PF United Kingdom</b>
III-3-6	State of nationality	<b>GB</b>
III-3-7	State of residence	<b>GB</b>
<b>III-4</b>	<b>Applicant and/or inventor</b>	
III-4-1	This person is:	<b>applicant and inventor</b>
III-4-2	Applicant for	<b>US only</b>
III-4-4	Name (LAST, First)	<b>JOHNSON , Katherine L.</b>
III-4-5	Address:	<b>Flat 59 Driftway Court, Meyseys Close, Headington, Oxford , OX3 7SE United Kingdom</b>
III-4-6	State of nationality	<b>GB</b>
III-4-7	State of residence	<b>GB</b>
<b>III-5</b>	<b>Applicant and/or inventor</b>	
III-5-1	This person is:	<b>applicant and inventor</b>
III-5-2	Applicant for	<b>US only</b>
III-5-4	Name (LAST, First)	<b>HEFFERNAN, Jonathan</b>
III-5-5	Address:	<b>33 Denton Close, Oxford , OX2 9BW United Kingdom</b>
III-5-6	State of nationality	<b>IE</b>
III-5-7	State of residence	<b>GB</b>

## PCT REQUEST

02R00363/PC

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IV-1	<b>Agent or common representative; or address for correspondence</b> The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:	<b>agent</b>
IV-1-1	Name (LAST, First)	<b>YAMAMOTO, Shusaku</b>
IV-1-2	Address:	<b>Fifteenth Floor, Crystal Tower 2-27, Shiromi 1-chome, Chuo-ku Osaka-shi, Osaka 540-6015 Japan</b>
IV-1-3	Telephone No.	<b>06-6949-3910</b>
IV-1-4	Facsimile No.	<b>06-6949-3915</b>
IV-2	<b>Additional agent(s)</b>	<b>additional agent(s) with same address as first named agent</b>
IV-2-1	Name(s)	<b>YASUMURA, Takaaki; OSHIO, Takeshi</b>
V	<b>Designation of States</b>	
V-1	Regional Patent (other kinds of protection or treatment, if any, are specified between parentheses after the designation(s) concerned)	<b>AP: GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW and any other State which is a Contracting State of the Harare Protocol and of the PCT</b> <b>EA: AM AZ BY KG KZ MD RU TJ TM and any other State which is a Contracting State of the Eurasian Patent Convention and of the PCT</b> <b>EP: AT BE BG CH&amp;LI CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PT RO SE SI SK TR and any other State which is a Contracting State of the European Patent Convention and of the PCT</b> <b>OA: BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG and any other State which is a member State of OAPI and a Contracting State of the PCT</b>
V-2	National Patent (other kinds of protection or treatment, if any, are specified between parentheses after the designation(s) concerned)	<b>AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH&amp;LI CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW</b>

## PCT REQUEST

02R00363/PC

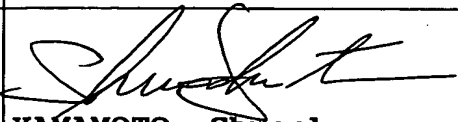

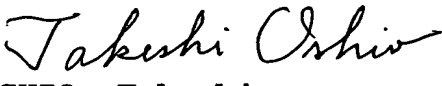
Original (for SUBMISSION) - printed on 14.08.2003 10:58:26 AM

<b>V-5</b>	<b>Precautionary Designation Statement</b> In addition to the designations made under items V-1, V-2 and V-3, the applicant also makes under Rule 4.9(b) all designations which would be permitted under the PCT except any designation(s) of the State(s) indicated under item V-6 below. The applicant declares that those additional designations are subject to confirmation and that any designation which is not confirmed before the expiration of 15 months from the priority date is to be regarded as withdrawn by the applicant at the expiration of that time limit.		
<b>V-6</b>	<b>Exclusion(s) from precautionary designations</b>	<b>NONE</b>	
<b>VI-1</b>	<b>Priority claim of earlier national application</b>		
VI-1-1	Filing date	<b>23 August 2002 (23.08.2002)</b>	
VI-1-2	Number	<b>0219728.3</b>	
VI-1-3	Country	<b>GB</b>	
<b>VII-1</b>	<b>International Searching Authority Chosen</b>	<b>European Patent Office (EPO) (ISA/EP)</b>	
<b>VIII</b>	<b>Declarations</b>	Number of declarations	
VIII-1	Declaration as to the identity of the inventor	-	
VIII-2	Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent	-	
VIII-3	Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application	-	
VIII-4	Declaration of inventorship (only for the purposes of the designation of the United States of America)	-	
VIII-5	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty	-	
<b>IX</b>	<b>Check list</b>	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	<b>5</b>	-
IX-2	Description	<b>29</b>	-
IX-3	Claims	<b>4</b>	-
IX-4	Abstract	<b>1</b>	<b>EZABST00.TXT</b>
IX-5	Drawings	<b>4</b>	-
IX-7	<b>TOTAL</b>	<b>43</b>	
	<b>Accompanying Items</b>	paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	✓	-
IX-9	Original separate power of attorney	✓	-
IX-17	PCT-EASY diskette	-	<b>Diskette</b>
IX-18	Other (specified):	<b>Revenue Stamps of Transmittal Fee</b>	-

## PCT REQUEST

02R00363/PC

Original (for SUBMISSION) - printed on 14.08.2003 10:58:26 AM

IX-19	Figure of the drawings which should accompany the abstract	2
IX-20	Language of filing of the international application	English
X-1	Signature of applicant, agent or common representative	
X-1-1	Name (LAST, First)	YAMAMOTO, Shusaku
X-2	Signature of applicant, agent or common representative	
X-2-1	Name (LAST, First)	YASUMURA, Takaaki
X-3	Signature of applicant, agent or common representative	
X-3-1	Name (LAST, First)	OSHIO, Takeshi

## FOR RECEIVING OFFICE USE ONLY

10-1	Date of actual receipt of the purported international application	
10-2	Drawings:	
10-2-1	Received	
10-2-2	Not received	
10-3	Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application	
10-4	Date of timely receipt of the required corrections under PCT Article 11(2)	
10-5	International Searching Authority	ISA/EP
10-6	Transmittal of search copy delayed until search fee is paid	

## FOR INTERNATIONAL BUREAU USE ONLY

11-1	Date of receipt of the record copy by the International Bureau	
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